



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of:

Thomas C. Naratil

Serial No.: 09/617,853

Filed: July 17, 2000

For: **SYSTEM FOR TRADING FIXED
INCOME FINANCIAL INSTRUMENTS:
U.S. TREASURY SECURITIES, LIQUID
AGENCIES AND ZERO COUPON
STRIPS**

) **Group Art Unit:** 3624) **Examiner:** Colbert, Ella

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

In accordance with 37 CFR §§1.97 and 1.98, the items identified in this Information Disclosure Statement ("IDS") are brought to the attention of the Office. The items are listed on the attached form PTO-1449 and copies of foreign patent documents and publications are enclosed for the convenience of the Examiner.

The items identified in this IDS may or may not be "material" pursuant to 37 CFR §1.56. The submission thereof by Applicant is not to be construed as an admission that any such patent, publication or other information referred to therein is material or considered to be material (37 CFR §1.97(h)), or even qualifies as "prior art" under 35 USC § 102 with respect to this invention unless specifically designated by Applicant as such.

07/19/2005 CNGUYEN2 00000078 162500 **Information Disclosure Statement Filing Provision:**

02 FC:1806 ☐ 180.00 DA This IDS is believed to be timely in that it is being submitted under 37 CFR § 1.97(b), that is (1) within three months of the filing date of the application, which is not a continued prosecution application filed under § 1.53(d); or (2) within three months of entry of the national stage as set forth in 37 CFR § 1.491; or (3) before the mailing of a first Office action on the

merits; or (4) before the mailing of a first Office action after filing a request for continued examination under § 1.114. Thus, no fee is required.

- ☐ However, if the undersigned is in error in this regard, Applicant respectfully requests that the Office consider this IDS as filed under 37 CFR § 1.97(c), if applicable, and charge the fee due under 37 CFR § 1.17(p) to the deposit account referenced below.
- ☐ However, if the undersigned is in error in this regard, Applicant respectfully requests that the Office consider this IDS as filed under 37 CFR § 1.97(c), if applicable, and a statement under 37 CFR § 1.97(e) is included below, thus no fee is required.
- ☒ This IDS is being submitted under 37 CFR § 1.97(c), that is after mailing of a first Office action on the merits, but before a Final Action under 37 CFR § 1.113 or a Notice of Allowance under 37 CFR § 1.311.
- ☒ The fee due under 37 CFR § 1.17(p) is submitted herewith.
- ☐ A statement under 37 CFR § 1.97(e) is included below, thus no fee is required. In the event that this IDS is not received before a Final Action or a Notice of Allowance, then Applicant respectfully requests that the Office consider the filing of these papers to be submitted under 37 CFR § 1.97(d) and charge the fee due under 37 CFR § 1.17(p) to the deposit account below.
- ☐ This IDS is being submitted under 37 CFR § 1.97(d), that is after a Final Action under 37 CFR § 1.113 or a Notice of Allowance under 37 CFR § 1.311, but before payment of the issue fee. A statement under 37 CFR § 1.97(e) is included below. The fee due under 37 CFR § 1.17(p) is submitted herewith.

Statement Under 37 CFR § 1.97(e):

- ☐ Each item contained in this IDS was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this IDS.
- ☐ No item contained in this IDS was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing this statement after making reasonable inquiry, no item of information contained in this IDS was

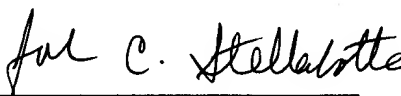
known to any individual designated in 37 CFR §1.56(c) more than three months prior to the filing of this IDS.

Payment and/or Authorization to Charge Fees:

- ☐ A check in the amount of _____ is enclosed for the above fee(s).
- ☒ Please charge \$180.00 to Deposit Account No.16-2500 for the above fee(s).

The Commissioner is authorized to charge any fees required by the filing of these papers, and to credit any overpayment to Proskauer Rose LLP's Deposit Account No.16-2500.

Respectfully submitted,
Proskauer Rose LLP

By: 
John C. Stellabotte
Reg. No. 47,969

Date: July 15, 2005

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Encl. Form PTO-1449



Form PTO-1449 (Rev. 6-98) U.S. Department of Commerce Patent and Trademark Office INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary)	Attorney Docket No. 74622-011	Serial No. 09/617,853
	Applicant: Thomas C. Naratil	
	Filing Date: July 17, 2000	Group Art Unit 3624

U.S. PATENT DOCUMENTS

Examiner Initial	Document Number						Date	Name	Class	Sub Class
	6	3	7	7	9	4	0	4/2002	Tilfors et al.	
	6	8	5	0	9	0	7	2/2005	Lutnick et al.	
	6	8	2	9	5	8	9	12/2004	Saliba, Anthony J.	

FOREIGN PATENT DOCUMENTS

Examiner Initial	Document Number	Date	Country	Class	Sub Class	Translation	
						Yes	No
	01/57752 A1	08/2001	WO			X	
	01/02930 A2	01/2001	WO			X	
	04/008296 A2	01/2004	WO			X	
	04/042514 A2	5/2004	WO			X	
	2 389 687 A	12/2003	GB			X	

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

	US 2001/0044767, 11/2001, Madoff et al.
	US 2002/0019794 A1, 02/2002, Katz et al.
	US 2002/0169703 A1, 11/2002, Lutnick et al.
	US 2004/0243505 A1, 12/2004, Sweeting et al.

Examiner	Date Considered
Examiner: Initial if citation considered, whether or not citation is in conformance with MPEP§60 : Draw line through citation if not in conformance and not considered, include copy of this form with next communication to the patent owner.	



USPTO-1449 (Rev. 6-98) U.S. Department of Commerce Patent and Trademark Office INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary)		Attorney Docket No. 74622-011	Serial No. 09/617,853				
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U.S. PATENT DOCUMENTS							
Examiner Initial	Document Number	Date	Name	Class	Sub Class		
FOREIGN PATENT DOCUMENTS							
Examiner Initial	Document Number	Date	Country	Class	Sub Class	Translation Yes No	
OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)							
	US 2004/0177026 A1, 09/2004, Balabon.						
	US 2004/0199455 A1, 10/2004, Saliba.						
	US 2002/0184136 A1, 12/2002, Cleary et al.						
	Downes J., and Goodman J.E., Dictionary of Investment Terms, Fifth Edition, Barrons, 1998, page 601, stop order definition.						
Examiner		Date Considered					
Examiner: Initial if citation considered, whether or not citation is in conformance with MPEP§60 : Draw line through citation if not in conformance and not considered, include copy of this form with next communication to the patent owner.							